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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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[REDACTED] EXAMINER

VAN DOREN, BETH

ART UNIT	PAPER NUMBER
	3623

DATE MAILED: 07/18/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b>	<b>Applicant(s)</b>	
	10/005,862	ERNEST ET AL.	
	<b>Examiner</b>	<b>Art Unit</b>	
	Beth Van Doren	3623	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

#### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) Responsive to communication(s) filed on 12 May 2003.
- 2a) This action is FINAL.                  2b) This action is non-final.
- 3) Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) Claim(s) 1-16 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) Claim(s) \_\_\_\_\_ is/are allowed.
- 6) Claim(s) 1-16 is/are rejected.
- 7) Claim(s) \_\_\_\_\_ is/are objected to.
- 8) Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) The specification is objected to by the Examiner.
- 10) The drawing(s) filed on \_\_\_\_\_ is/are: a) accepted or b) objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) The proposed drawing correction filed on \_\_\_\_\_ is: a) approved b) disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) The oath or declaration is objected to by the Examiner.

#### Priority under 35 U.S.C. §§ 119 and 120

- 13) Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) All b) Some \* c) None of:
1. Certified copies of the priority documents have been received.
  2. Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) The translation of the foreign language provisional application has been received.
- 15) Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

#### Attachment(s)

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)                               | 4) <input type="checkbox"/> Interview Summary (PTO-413) Paper No(s). _____  |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)           | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449) Paper No(s) _____ . | 6) <input type="checkbox"/> Other: _____                                    |

## **DETAILED ACTION**

1. The following is a Final office action in response to communications received on 05/12/03. Claim 10 has been amended. Claims 1-16 are now pending in this application.

### ***Response to Amendment***

2. Examiner acknowledges Applicant's amendment to claim 10.

### ***Response to Arguments***

3. Applicant's arguments with regard to the § 102 rejections based on Agrawal et al. (EP 0 895 169 A2) have been fully considered, but they are not persuasive. In the remarks, the Applicant argues that Agrawal et al. does not teach or suggest (1) determining the value of services or the value of components used in the services, (2) collecting in each of the components usage data that indicates the usage amount of the component in providing any one of a plurality of services, (3) each service having a value to the IT proprietor and, based on that value, a value for the component needed to provide the service can be determined, (4) the services being correlated to each of the components used in providing the multiple services so that the value of each of the components may be measured and evaluated in terms of the components participation and value in providing such services, and that (5) figures 1 and 3 do not evaluate system components, but rather create a second model based on actual data from an audit trail obtained in a business process.

In response to Applicant's argument that Agrawal et al. does not teach or suggest (1) determining the value of services or the value of components used in the services, Examiner respectfully disagrees. Agrawal et al. discusses a valuation function that associates the service produced by the process with the components that make up the process. The businesses at which

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the workflow management system (WFMS) is implemented have varying services, the WFMS applicable to a specific service of each business. The valuation function of the WFMS is used to assess each component (each component is tasks/processes with associated activities) and the overall IT system (the entire workflow that results in the completion of the service). See at least figures 1, 3, and 4, column 7, lines 15-18, column 11, lines 42-53, column 13, lines 1-6, 18-24, 31-42 and 48-57, column 14, lines 18-24 and 44-55, column 15, lines 2-10, 33-41, and 47-52, column 17, lines 33-45, and column 18, lines 1-12.

In response to Applicant's argument that Agrawal et al. does not teach or suggest (2) collecting in each of the components usage data that indicates the usage amount of the component in providing any one of a plurality of services, Examiner respectfully disagrees. Data that indicates the components roles in the workflow of the service is collected in containers associated with each component and its activities. This information reflects the components pattern of usage in past workflows. See at least column 7, lines 45-58, column 8, lines 1-10, 19-29, 40-52, and 55-58, column 9, lines 45-58, column 10, lines 1-5, column 11, lines 42-53, column 13, lines 31-42, column 14, lines 18-24 and 44-55, column 15, lines 2-10, 33-41, and 47-52, and column 16, lines 33-41, which talk about the logging of activities associated with a component, or task, of the workflow to determine the usage of that step.

In response to Applicant's argument that Agrawal et al. does not teach or suggest (3) each service having a value to the IT proprietor and, based on that value, a value for the component needed to provide the service can be determined, Examiner points out that the features upon which applicant relies (i.e., the IT proprietor) are not recited in the rejected claims. Although the claims are interpreted in light of the specification, limitations from the specification are not read

into the claims. See *In re Van Geuns*, 988 F.2d 1181, 26 USPQ2d 1057 (Fed. Cir. 1993). If the feature of the “IT proprietor” is essential to the claimed invention, it should be expressly recited in the limitations of the claims.

In response to Applicant’s argument that Agrawal et al. does not teach or suggest (4) the services being correlated to each of the components used in providing the multiple services so that the value of each of the components may be measured and evaluated in terms of the components participation and value in providing such services, Examiner again asserts the sections of the prior art sited in response to argument (2). The workflow is broken down into a sequence of activities that must occur for to complete the task and process. Activities are therefore components of the workflow with associated programs, persons, and processes. The activities and components of the workflow process that achieve the service and/or goal of the business are logged and the data analyzed to determine each activity’s and component’s relationship to the overall workflow process.

In response to Applicant’s argument that (5) figures 1 and 3 do not evaluate system components, but rather create a second model based on actual data from an audit trail obtained in a business process, Examiner points out that these figures were cited along with other sections of the prior art as a mere guide to highlight sections of Agrawal et al. to the Applicant that teach and suggest the claimed limitations and so while these sections were cited, the rejection asserted is over the prior art reference as a whole. Figure 1 shows the workflow management system (WFMS) and its tracking of usage data by component (102). Component (102) analyzes the usage data using data mining algorithms to evaluate and improve upon the process model based on the discoveries of the analysis. Examiner points out, that as claimed, the limitations do not

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exclude the building of a new model or the improving of the current model after the valuation occurs. Figure 3 discloses the derived relationships using the valuation tools of the WFMS, thus showing along with the other teachings of the reference at least the outcome of constructing of a valuation function for valuing each service, the correlating each service with each component used to provide said service, and the determining from said correlated services and components a value of each component and a value of said IT system.

***Claim Rejections - 35 USC § 102***

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

Claims 1-16 are rejected under 35 U.S.C. 102(b) as being anticipated by Agrawal et al. (EP 0 895 169 A2).

5. As per claim 1, Agrawal et al. teaches a process for managing an integrated information technology (IT) system having a plurality of components and providing a plurality of services, the process comprising the steps of:

collecting, at each of the components, usage data indicating an amount of use each component receives in providing each of the services (See at least column 1, lines 15-23 and 38-47, column 7, lines 45-58, column 8, lines 1-10, 19-29, 40-52, and 55-58, column 9, lines 45-58, column 11, lines 42-53, column 13, lines 31-42 and 48-57, column 14, lines 18-24 and 44-55, column 15, lines 2-10, 33-41, and 47-52, and column 16, lines 33-41, wherein each component

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of the overall process collects the data associated with the usage/transaction/action of that component in providing each service on the multiple process executions);

reporting the usage data of each component for each service (See at least column 1, lines 15-23 and 38-47, column 7, lines 45-58, column 8, lines 1-10, 19-29, 40-52, and 55-58, column 9, lines 45-58, column 13, lines 31-42 and 48-57, column 14, lines 18-24 and 44-55, column 15, lines 2-10, 33-41, and 47-52, and column 16, lines 4-16 and 33-41, wherein the usage/transaction/action data of the component is reported to the appropriate database for storage and, later, manipulation);

constructing a valuation function for valuing each service (See at least figures 1 and 3, column 7, lines 15-18, column 11, lines 42-53, column 13, lines 1-6, 18-24, 31-42 and 48-57, column 14, lines 18-24 and 44-55, column 15, lines 2-10, 33-41, and 47-52, column 17, lines 33-45, and column 18, lines 1-12, wherein a valuation function is constructed from the discovered usage/transaction/action data that values each overall process that results in a service);

correlating each service with each component used to provide said service (See at least figures 1 and 3, column 7, lines 15-18, column 11, lines 42-53, column 13, lines 1-6, 18-24, 31-42 and 48-57, column 14, lines 18-24 and 44-55, column 15, lines 2-10, 33-41, and 47-52, column 16, lines 33-45, and column 17, lines 1-12, wherein the valuation function associates each service that is the output of the process with the activities of the components that occur during the process); and

determining from said correlated services and components a value of each component and a value of said IT system (See at least figures 1, 3, and 4, column 7, lines 15-18, column 11, lines 42-53, column 13, lines 1-6, 18-24, 31-42 and 48-57, column 14, lines 18-24 and 44-55,

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column 15, lines 2-10, 33-41, and 47-52, column 17, lines 33-45, and column 18, lines 1-12, wherein the valuation function that associates the service produced by the process with the components that make up the process is used to assess each component and the overall IT system).

6. As per claim 2, Agrawal et al. discloses a process wherein said value is determined from usage statistics accumulated at each component (See at least column 1, lines 15-23 and 38-47, column 7, lines 45-58, column 8, lines 1-10, 19-29, 40-52, and 55-58, column 9, lines 45-58, column 11, lines 42-53, column 13, lines 31-42 and 48-57, column 14, lines 18-24 and 44-55, column 15, lines 2-10, 33-41, and 47-52, and column 16, lines 33-41, wherein usage statistics are accumulated at each component and used by the overall system. See at least figures 1, 3, and 4, column 7, lines 15-18, column 11, lines 42-53, column 13, lines 1-6, 18-24, 31-42 and 48-57, column 14, lines 18-24 and 44-55, column 15, lines 2-10, 33-41, and 47-52, column 17, lines 33-45, and column 18, lines 1-12, wherein this data is used to form the valuation functions).

7. As per claim 3, Agrawal et al. teaches a process further comprising the step of evaluating a worth of each component based on multiple uses of said component in multiple services performed by said IT system (See at least figures 1, 3, and 4, column 7, lines 15-18, column 11, lines 42-53, column 13, lines 1-6, 18-24, 31-42 and 48-57, column 14, lines 18-24 and 44-55, column 15, lines 2-10, 33-41, and 47-52, column 16, lines 4-16 and 33-41, column 17, lines 33-45, and column 18, lines 1-12, wherein each component's worth to the overall process is evaluated based on multiple uses of the component in multiple runs of the IT system. Patterns in the components usage/action in the process that results in the service are looked for in the database using data mining techniques).

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8. As per claim 4, Agrawal et al. teaches a process further comprising the step of constructing a relationship table identifying the components used in providing each service, wherein a configuration management process is fed by a change management process in order to maintain the relationship table as changes to said IT system are made (See at least figures 2-4, column 9, lines 45-58, column 10, lines 2-15, column 11, lines 42-55, column 13, lines 31-42 and 49-55, column 14, lines 1-6, 18-24, and 44-58, column 15, lines 14-22 and 33-41, column 16, lines 4-16 and lines 33-48, column 17, lines 33-45, and column 18, lines 1-12, wherein a relationship chart is constructed after each process and component assessment, this chart identifying the relationship between the components and their usage in the overall output of the process. A change management process allows the relationship tables to evolve as the process and component data updates over time by reanalyzing the patterns. A configuration management process maintains the relationship charts and updates the charts as it is fed the analysis of the updated data).

9. As per claim 5, Agrawal et al. discloses a process wherein valuing a given service comprises determining a value for each transaction conducted in providing that service (See at least figures 1 and 3, column 7, lines 15-18, column 11, lines 42-53, column 13, lines 1-6, 18-24, 31-42 and 48-57, column 14, lines 18-24 and 44-55, column 15, lines 2-10, 33-41, and 47-52, column 16, lines 33-45, and column 17, lines 1-12, wherein assessing a process that causes the service occurs by assessing each transaction conducted during the process and looking for patterns and time periods in the transactions of the components).

10. As per claim 6, Agrawal et al. teaches a process further comprising the step of providing for each component an agent for accumulating transaction data regarding services provided using

that component (See at least column 9, lines 46-58, column 10, lines 1-5, and column 14, lines 35-55, which discloses a means for accumulating each component's transaction data).

11. As per claim 7, Agrawal et al. discloses a process wherein said value is determined in said determining step in accordance with the transaction (See at least figures 1 and 3, column 7, lines 15-18, column 9, lines 46-58, column 10, lines 1-5, column 11, lines 42-53, column 13, lines 1-6, 18-24, 31-42 and 48-57, column 14, lines 18-24 and 35-55, column 15, lines 2-10, 33-41, and 47-52, column 16, lines 33-45, and column 17, lines 1-12, wherein the assessment is determined by using the transaction data stored at each component wherein the audited information allows the data mining to occur).

12. As per claim 8, Agrawal et al. discloses a process wherein said transaction data includes the type of transaction and a value associated therewith (See figures 2 and 3 and column 14, lines 44-55, column 16, lines 1-17 and 37-41, wherein the transaction data includes the type of transaction that occurs and an assessment based on the transaction patterns).

13. As per claim 9, Agrawal et al. discloses a process further comprising the step of reporting the transaction data (See at least column 1, lines 15-23 and 38-47, column 7, lines 45-58, column 8, lines 1-10, 19-29, 40-52, and 55-58, column 9, lines 45-58, column 13, lines 31-42 and 48-57, column 14, lines 18-24 and 44-55, wherein the transaction data is reported to the workflow analysis component during the audit).

14. As per claim 10, Agrawal et al. teaches a system for managing an IT infrastructure having a plurality of components for providing a plurality of services, said system comprising:  
an agent associated with each of the components, said agent identifying each transaction of a service performed by said IT infrastructure (See at least column 9, lines 46-58, column 10,

lines 1-5, and column 14, lines 35-55, which discloses a means for accumulating each component's transaction data); and

an information collection system for collecting from said agents transaction information relating to each service performed, said system determined from said transaction information which of said components are involved in said transaction (See at least column 1, lines 15-23 and 38-47, column 7, lines 45-58, column 8, lines 1-10, 19-29, 40-52, and 55-58, column 9, lines 45-58, column 13, lines 31-42 and 48-57, column 14, lines 18-24 and 44-55, wherein the transaction data is collected from the agent associated with the component into an activity log).

15. As per claim 11, Agrawal et al. discloses a system wherein said information collection system provides a report which identifies for each service the value of said service and the value of the components used in providing said service (See at least figure 3, column 1, lines 15-23 and 38-47, column 7, lines 45-58, column 8, lines 1-10, 19-29, 40-52, and 55-58, column 9, lines 45-58, column 13, lines 31-42 and 48-57, column 14, lines 18-24 and 44-55, column 15, lines 2-10, 33-41, and 47-52, column 16, lines 33-41, column 17, lines 33-45, and column 18, lines 1-12, wherein the information collection system uses the data in a data mining process to identity for each service process an assessment of the overall service of the process and an assessment of each of the components in providing the resulting service. This information is reported to the user of the system).

16. As per claim 12, Agrawal et al. teaches a system for managing an IT infrastructure comprising:

an information technology process model which defines a plurality of groups of processes defining information flow for an integrated management model defining the IT infrastructure for

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a plurality of IT services (See at least figures 2-4, column 1, lines 15-23 and 38-47, column 7, lines 45-58, column 8, lines 1-10, 19-29, 40-52, and 55-58, column 9, lines 5-10 and 45-58, column 11, lines 42-53, column 14, lines 18-24 and 44-55, column 17, lines 1-17 and 33-45, and column 18, lines 1-12, which discloses a process model that defines a plurality of groups of processes defining the information flow in the integrated business process, the process having a plurality of services that occur during its execution);

a plurality of agents for monitoring each component of said IT infrastructure, said agents collecting transaction information identifying each transaction by service type (See at least figure 2, column 1, lines 15-23 and 38-47, column 7, lines 45-58, column 8, lines 1-10, 19-29, 40-52, and 55-58, column 9, lines 45-58, column 13, lines 31-42 and 48-57, column 14, lines 18-24 and 44-55, column 15, lines 2-10, 33-41, and 47-52, column 16, lines 4-16 and 33-41, and column 17, lines 1-10, which discloses means for collecting the usage/transaction/action data of the components, this data identifying the type of activity performed in each transaction);

said agents reporting over said IT infrastructure transaction information to said information process model whereby said information is used by said model (See figure 2-4, column 7, lines 15-18, column 11, lines 42-53, column 13, lines 1-6, 18-24, 31-42 and 48-57, column 14, lines 18-24 and 44-55, column 15, lines 2-10, 33-41, and 47-52, column 17, lines 1-17 and 33-45, and column 18, lines 1-12, wherein the data is reported during audit to the information process model means that uses this information to create an assessment model).

17. As per claim 13, Agrawal et al. teaches a system for managing an IT infrastructure wherein said information is processed to provide a table that identifies for each component the service in which the component participates (See figure 2, wherein the information is processed

using data mining techniques to construct a table reflecting for each component the the duty for which it is employed and when. See also column 9, lines 45-58, column 10, lines 2-15, column 11, lines 42-55, column 13, lines 31-42 and 49-55, column 14, lines 1-6, 18-24, and 44-58, column 15, lines 14-22 and 33-41, column 16, lines 4-16 and lines 33-48, column 17, lines 33-45, and column 18, lines 1-12, wherein the activity information is logged and a relationship chart is constructed).

18. As per claim 14, Agrawal et al. discloses a system for managing an IT infrastructure wherein said information from said agents are processed to derive a second table identifying the total value of each service based on the information (See figure 3 and column 17, lines 37-41, wherein the information is processed and a second table is derived that shows the compiled assessment based on the information).

19. As per claim 15, Agrawal et al. teaches a system for managing an IT infrastructure wherein said total value is determined for at least some of said services based on the number of transactions performed by said services (See at least figures 1, 3, and 4, column 7, lines 15-18, column 11, lines 42-53, column 13, lines 1-6, 18-24, 31-42 and 48-57, column 14, lines 18-24 and 44-55, column 15, lines 2-10, 33-41, and 47-52, column 17, lines 33-45, and column 18, lines 1-12, wherein the total assessment is determined for the activities performed during the process by analyzing the patterns in the transactions/occurrences performed during the overall process).

20. As per claim 16, Agrawal et al. discloses a system for managing an IT infrastructure wherein said first table includes a valuation of each component based on its participation in each of said services (See figure 2, wherein the information is processed using data mining techniques

to construct a table reflecting for each component the duty for which it is employed and when. See also column 9, lines 45-58, column 10, lines 2-15, column 11, lines 42-55, column 13, lines 31-42 and 49-55, column 14, lines 1-6, 18-24, and 44-58, column 15, lines 14-22 and 33-41, column 16, lines 4-16 and lines 33-48, column 17, lines 33-45, and column 18, lines 1-12, wherein the activity information is logged and a relationship chart is constructed).

***Conclusion***

**21. THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Beth Van Doren whose telephone number is (703) 305-3882. The examiner can normally be reached on M-F, 8:30-5:00.

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If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Tariq Hafiz can be reached on (703) 305-9643. The fax phone numbers for the organization where this application or proceeding is assigned are (703) 305-7687 for regular communications and (703) 305-7687 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 308-1113.

*bvd*  
bvd

July 16, 2003

TARIQ R. HAFIZ  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 3600